

Contract Management Team Contract Approval IT Quick Reference Guide

March 2021

- The process must be completed for all legally binding documents entered into by the business.
- There are some limited exceptions, so read this before you decide if you need to enter into the process:

<p>Non-disclosure agreements where the Post Office standard template is used and any amendments made are within the house position</p>	<p>No approval is required, <u>provided</u> the standard terms are not amended outside the house position. A copy of the standard templates can be found here on the Legal Intranet Page. These should be executed by the business via Docusign Function on Web3. If executed via wet signature, the business must upload a copy on Web3.</p>
<p>Amendments or variations to existing contracts which do not change the cost to Post Office, Post Office's liabilities, the parties' obligations or the contract term (i.e. purely operational changes).</p>	<p>No formal approval is required, however Contract Managers are <u>expected</u> to ensure relevant stakeholders, including the Contract Owner, are aware of changes affecting them. These may be executed by the business via Docusign on Web3. If executed via wet signature, the business must upload a copy on Web3.</p>

NB: Any Termination Assistance Period needs a CAF.

CAF Checklist

- Have you engaged with the relevant stakeholders and let them know the eCAF is coming? For finance please ensure Rag knows and he will prep Kathryn. Please use the stakeholder email to inform stakeholders.
- Ensure the signature box for POL is empty, sometimes your details are in there, the boxes need to be blank.
- Ensure the doc to be signed is saved in WEB3 in PDF format within the referenced file above. All attachments must be PDF's.
- Contract title should mention the CMN Number.
- Ensure Counterparties include the supplier and the email ID of the supplier signatory.
- Ensure totals and dates are all aligned.
- Ensure WEB3 contract reference is included in the "additional approver oversight" box.
- Ensure you include, legal, financial and project sign off emails within the eCAF.
- Declarations can be left blank if not applicable.
- Make sure the correct counter party (individual) is shown who will sign the contract. If this has to change it you might need to resubmit the CAF.
- Ensure correct Confidentiality Level has been chosen – choose Internal.
- Remember to extract any embedded files and upload separately – if you go over the limit Co-Sec can add more.
- Save the document to Web3 – in the file entry insert the eCAF #

CAF Checklist - To Note

- You can save the form and come back to it, but you cannot edit the CAF after submission. You must ensure all the details are correct. If submitting after having saved the form, please note it may take up to 10 minutes for your CAF to appear in your 'In Progress CAFs' list.
- You will need to know the details of your contract including; anticipated cost and Post Office Group's liabilities/indemnities.
- You must have a final PDF of the contractual document(s) for signed. **Draft documents will be rejected.**
- You can check your CAF's approval status within the app under In Progress CAFs.
- If you have any questions, please email [caf@](mailto:caf@postoffice.gro) **GRO**

Contract Approval Process

Key Points, reference and guidance links

- No contract should be executed (signed) without the appropriate governance procedures being followed. In most instances, this will be by the completion of the Contract Approval Process.
- No individual should sign a contract who is not an authorised signatory. The Company Secretariat retain a list of authorised signatories.
- The links below sets out the acceptable methods of execution and the requirements around each method.
- The only exception to this is for standard non-disclosure agreements which may be signed by business units and copies provided to the Company Secretariat.
- A guide on **Contract Approval Signatures** is [here](#).
- A guide on **POL IT Exceptions** is [here](#).
- **Spend Approval Limits & Required Approvals** are [here](#).
- **Authorised Signatories and IT Delegated Financial Authorities (DFA)** is [here](#).
- **Liabilities** guidance is [here](#).
- **CoSEC CAF and Web3 Approvals information** is [here](#).
- **Execution of Deeds** information is [here](#).
- **Contract Records** information is [here](#).
- **Hints & Tips** guidance is [here](#).
- **Further Information** and guidance can be found [here](#).

Contract Approval Process – Steps 1-2

Obtain required/relevant information about your contract, liaise with relevant stakeholders and create Web3 Contract Record

- Engage with Legal and/or Procurement, Finance and any other relevant stakeholders [Stakeholder Template](#)
- Agree draft contract (ideally drafted on [Web3](#), otherwise [create a Web3 Contract Record](#), complete header level details.
- Uploaded document(s) to be signed mark 'FOR EXECUTION' in order for CoSEC to sign.
- In the section "Add counterparties" – insert details of the supplier signatory (email address)
- Add Confidentiality Level – choose Internal
- Save document to Web3 – in the file entry insert the eCAF #



Complete the Contract Approval Form (CAF)

- For Post Office Limited , complete this via the CAF Submission App - [here](#).
- Ensure that you upload/attach contract for signature to the eCAF/CAF but, include any embedded documents, attachments, appendices separately.
- Make sure all documents are in their final form – this means NO tracked changes, highlighting, comments, square brackets, draft markings etc. and they match the same as Web3 uploads.
- Do not upload Risk Notes
- Check your signature block
- Documents may only be uploaded to the eCAF **as PDF's** and there is a limit of 5 documents at 5MB per document. If your requirements exceed these limits, please submit what you can and then email [caf](#) **GRO** with the additional documents quoting your eCAF number. The Company Secretariat can then upload for you.

Contract Approval Process – Steps 3-6

Submit Contract Approval Form (CAF) to Approvers

- For Post Office Limited , approvals will be sought automatically via the CAF Submission App - [here](#).
- Web3 Ref. must be included in Oversight Box on CAF Submission App
- Progress may be checked in the 'IN PROGRESS' section of the app.

Contract Execution by CoSEC

- CoSEC will then execute the contract in line with the [Contract Execution Policy](#) via Web3 and the signed copy will automatically save to Web3.
- [Contract Execution Points](#)

Contract Approval Form (CAF) approved by CoSEC

- For Post Office Limited, your CAF will automatically be sent to CoSEC once fully approved.

Submit Web3 Contract record for Approval

- Once CoSEC has approved the CAF, the Contract Manager has 5 working days to submit the Web3 Contract Record for approval (if not submitted within the deadline, CoSEC will reverse the approval and reject the CAF).
- Contract Manager must include the eCAF Ref No. on the CAF Ref Box in Web3 (generated upon submission of the CAF)
- If the contract is a variation, the Contract Manager must enter the eCAF/CAF reference number for the variation in the document description on Web3